U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

030588

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number Complete if Known Substitute for form 1449A/PTO Application Number 10/703,975 Filing Date November 7, 2003 INFORMATION DISCLOSURE First Named Inventor Savasoglu STATEMENT BY APPLICANT Art Unit 3696 Examiner Name Vizvary, Gerald C. (use as many sheets as necessary) Attorney Docket Number

of

	U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No.1	Document Number Number - Kind Code ² (<i>if known</i>)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear		
		5,930,777	07-27-1999	Barber			
		7,249,083	07-24-2007	Noraev et al.			
		7,257,556	08-14-2007	Rifkin			
		2002/0138382	09-26-2002	Seaman			
		2003/0233313	12-18-2003	Bartolucci			
		2005/0075959	04-07-2005	Woodruff et al.			
		2005/0075976	04-07-2005	Woodruff et al.			
		·					
~~~							
			<del></del>				
-							

Examiner	Date	
Signature	Considered	

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SENDTO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Sheet

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional), See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. Enter Office that issued the document, by the two-letter code (WIPO Standard S.T.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

Substitute for form 1449A/PTO  INFORMATION DISCLOSURE				Complete if Known		
				Application Number	10/703,975	
				Filing Date	November 7, 2003	
				First Named Inventor	Savasoglu	
STATEMENT BY APPLICANT			CANT	Art Unit	3696	
				Examiner Name	Vizvary, Gerald C.	
(use as many sheets as necessary)			ssary)	1		
Sheet	2	of	2	Attorney Docket Number	030588	

		NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published			
		Craig, Pirrong, "Manipulation of Cash-Settled Futures Contracts", JSTOR: The Journal of Business, Vol. 74, No. 2, (2001), pp. 224.			
7 17 · · · · · · · · · · · · ·		Prospectus Supplement, Public Service Enterprise Group Incorporated (PSEG) Sept. 5, 2002.			
		Prospectus Supplement, The Hartford Financial Services Group, Inc., Sept. 9, 2002.			
		United States Patent Application No. 10/677,172. (Attoney Docket No. 030586)			
	<u> </u>				

Examiner	Date	
Signature	Considered	

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SENDTO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.